



CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION

INSTRUCTIONS FOR SEEC FORM 20 ITEMIZED CAMPAIGN FINANCE DISCLOSURE STATEMENT

Revised May 2016

For use by
Treasurers of Exploratory and Candidate Committees for
Elected Offices in Municipal Elections
Judge of Probate in State Elections

and Treasurers of
Political Committees in all Elections
Party Committees in all Elections

SEEC MAILING ADDRESS:

STATE ELECTIONS ENFORCEMENT COMMISSION
20 TRINITY STREET
HARTFORD, CONNECTICUT 06106-1628
ATTN: CAMPAIGN FINANCE DISCLOSURE UNIT—3RD FLOOR

SEEC TELEPHONE NUMBER:

MAIN NUMBER: 860-256-2940
TOLL FREE WITHIN CT: 866-SEEC-INFO
SEEC WEBSITE ADDRESS: www.ct.gov/seec

eCRIS enables campaign treasurers of party committees and political committees registered with the State Elections Enforcement Commission to electronically submit required committee registration information and campaign finance statements.

See the Commission's website www.ct.gov/seec for more information.

SEEC FORM 20 INSTRUCTIONS

Itemized Campaign Finance Disclosure Statement
CONNECTICUT STATE ELECTIONS ENFORCEMENT COMMISSION
Revised May 2016



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GENERAL INSTRUCTIONS

- Type or print clearly all information in black or blue pen. **Please do not use pencil.**
- SEEC staff is available to answer legal compliance questions and advise on how to complete this form (860-256-2940).
- If additional pages are needed to complete all information required in each section of the form, please reproduce the "Additional Page" for the appropriate section (found in back of SEEC Form 20), and attach the page(s) to the section.
- Candidate and Exploratory Committees for Statewide Offices and General Assembly: Use SEEC Form 30

WHERE TO FILE THIS FORM

File with the State Elections Enforcement Commission ONLY: (20 Trinity Street, Hartford, CT 06106, Attn. Campaign Finance Disclosure Unit – 3rd Floor)

- Candidate Committees for Probate Judge
- Political Committees formed for a single election or primary to support or oppose candidates for Governor, Lieutenant Governor, Secretary of the State, State Treasurer, Comptroller, Attorney General, State Senator, State Representative or Judge of Probate, or support or oppose a state constitutional amendment, or for any combination of these purposes
- State Central Committees
- Town Committees (*copy filed with Town Clerk no longer required—Public Act 11-48*)
- Political Committees organized for ongoing political activities independent of any single election, which make contributions, expenditures, or intend to make contributions or expenditures for Governor, Lieutenant Governor, Secretary of the State, State Treasurer, Comptroller, Attorney General, State Senator, State Representative or Judge of Probate, or support or oppose a state constitutional amendment, or for any combination of these purposes

File with the State Elections Enforcement Commission AND Town Clerk:

- Political Committee of a slate of candidates competing in a primary for the office of Justice of the Peace

File with Town Clerk ONLY:

- Candidate Committees for election to a municipal office (Mayor, Councilman, Registrar of Voters, etc.) or for nomination in a primary for the position of a Town Committee member
- Exploratory Committees established by a candidate solely considering municipal offices
- Political Committees formed for a single election or primary to support or oppose candidates for municipal office or a slate of candidates for a town committee primary
- Political Slate Committees formed to be the sole funding vehicle for two or more candidates for nomination or election to municipal office in a town or for a slate candidates in a town committee primary
- Political Committees formed solely to support or oppose a referendum question to be voted upon only by the electors of a single municipality. If the referendum question is to be voted on in two or more municipalities, this form must be filed with the Town Clerk in **each** of the municipalities involved (e.g. regional school district)
- Political Committees organized for ongoing political activities independent of any single election or referendum, which make contributions, expenditures, or intend to make contributions or expenditures solely for municipal candidates or referenda

WHEN TO FILE THIS FORM

Statements filed with the **State Elections Enforcement Commission** must be filed by hand delivery or delivered by the United States Postal Service, a courier service or a parcel service and **received by 5:00 p.m.** of the required filing day or must be electronically filed not later than **11:59 p.m.** on the required filing day. Statements filed with the **town clerk** must be filed by **4:30 p.m. or postmarked before midnight** of the required filing day. If the due date falls on a Saturday, Sunday, or legal holiday, it is due on the next business day. *See specific instructions for non-standard filings on pages 2 - 3.*

LATE FILING PENALTY

A mandatory late filing penalty of \$100 is charged for statements filed late **for any reason**. The fee is the personal liability of the treasurer and cannot be paid from committee funds. In addition, if a late statement is not filed within 21 days after notification of a missed filing date or within 7 days following a town clerk's notice, the treasurer is liable for a minimum penalty of \$200 and may be liable for a fine of not more than \$2,000 or imprisonment for not more than one year or both.

RECORD KEEPING

The treasurer **must** keep internal records to substantiate each entry on the statement. Records must be maintained for no less than four years. *See General Statutes § 9-607 (f)* for record keeping requirements. The treasurer should also maintain copies of all statements filed and must provide a copy of each to the candidate or committee chairperson.

COMPLETING THE COVER PAGE

1. **Name of Committee:** Provide full name of committee as registered with the appropriate filing repository (State Elections Enforcement Commission or Town Clerk).
2. **Treasurer Name:** Provide the full name of the treasurer; first name, middle initial, last name and suffix, if any. This should be the same person who is the appointed treasurer and properly registered with the appropriate filing repository.
3. **Treasurer Street Address:** Provide the full and complete residential address of the treasurer.
4. **Election/Referendum Date:** Candidate Committees, Exploratory Committees, and Political Committees organized for a single primary, election, or referendum must provide the date of the primary, election or referendum for which they were organized. *Town Committees, State Central Committees and Ongoing Political Committees should not complete this section.*
5. **Office Sought:** *This section is to be completed by Candidate Committees ONLY.* Record the name of the public office or position being sought by the candidate.
6. **District Number:** Provide the district number, if applicable, for the public office or position being sought by the candidate (e.g. probate, council, alderman, etc.).
7. **Candidate Name:** *This section is to be completed by Candidate and Exploratory Committees ONLY.* Provide the full name of the candidate; first name, middle initial, last name and suffix, if any.
8. **Type of Report:** Check the appropriate box to indicate what type of report is being filed. *Filing Deadlines for standard reports can be found on the Commission's website www.ct.gov/seec*

Additional information on non-standard reports is described below:

24 Hour Independent Expenditure Report: Any committee which makes or incurs an independent expenditure or expenditures which exceeds \$1,000 in the aggregate (calendar year) for candidate(s) for the office of Governor, Lt. Governor, Secretary of the State, State Comptroller, Attorney General, State Senator or State Representative must file the *Independent Expenditure* statement and it must be **received by** the Commission as follows: (1) *Prior to the Nominating Convention* - an independent expenditure or expenditures made or incurred prior to the nominating convention must be reported to the Commission on the next regular filing date for the committee; (2) *After the Nominating Convention – 24 Hour Reporting Period* - an independent expenditure or expenditures made or incurred after the nominating convention must be reported to the Commission within 24 hours of making or incurring the independent expenditure(s).

For statements filed in the 24 hour period, the period covered must include all financial activity of the committee beginning the first day not included on the committee's last filed Itemized Campaign Finance Disclosure Statement and be complete as of 11:59 p.m. of the day the independent expenditure was made or incurred. Check the box for *24 Hour Independent Expenditure* as well as the circle indicating if the expenditure is made in association with a primary or election (for special election, select "election"). Because time is of the essence in this type of filing, the Commission will accept facsimile transmissions for this type of report **only** at fax number: (860) 622-4926, or by email at the following email address: **SEEC.eCris.Info@ct.gov**. An original signed *24 Hour Independent Expenditure Statement* must also be mailed to the Commission immediately following the fax or email on the first business day that the Post Office is open, or it may be filed in person.

Please Note: Note that the \$1,000 aggregate amount resets after the primary campaign period which ends the day after the primary. Note also that during the 24 Hour Reporting Period the \$1,000 aggregate amount resets after each SEEC Form 20 that is filed. This means that once a committee files a SEEC Form 20 during the 24 Hour Reporting Period, they do not have to file a subsequent SEEC Form 20 until they have made additional independent expenditures exceeding \$1,000 in the aggregate or until the next regular filing deadline. For example, if a committee files a SEEC Form 20 on July 14th and then makes or obligates to make independent expenditures totaling \$500 on July 15th, no additional obligation to file is triggered. If, on July 16th, they exceed \$1,000 in independent expenditures made or obligated to be made since the SEEC Form 20 was filed, they must electronically file a SEEC Form 20 with the Commission no later than 11:59 p.m. on July 17th.

If the committee filing this statement makes or incurs an independent expenditure in excess of \$1,000 for candidates for any other type of office, other than statewide office or General Assembly or for referenda, such treasurer shall only be required to file statements according to the regular schedule of statements.

COMPLETING THE COVER PAGE *continued*

24 Hour Independent Expenditure Report (continued): If the committee fails to report an independent expenditure for a candidate for General Assembly or statewide office that was made or obligated to be made more than 90 days before the day of a primary or election as required by General Statutes § 9-612 (e) (2), such committee shall be subject to a civil penalty, imposed by the State Elections Enforcement Commission, of up to \$10,000. *See* General Statutes § 9-601d (i). If the committee fails to report an independent expenditure that was made or obligated to be made 90 days or less before the day of a primary or election as required by General Statutes § 9-612 (e) (2), such committee shall be subject to a civil penalty, imposed by the State Elections Enforcement Commission, of up to \$20,000. *See* General Statutes § 9-601d (i). Furthermore, if any such failure is knowing and willful, the person responsible for the failure shall also be fined up to \$50,000 and may be referred to the Chief State's Attorney. *See* General Statutes § 9-601d (i).

45 days following referendum: This report is only applicable to political committees formed solely for a referendum not held in November; in the case of political committees formed for referenda taking place at a regular November election, the January 10th filing shall serve as the 45 days following the referendum report.

45 days following an election not held in November: This report is only applicable to political committees formed for a May municipal election and any special elections not held in November; in the case of political committees formed for a November election, the January 10 filing shall serve as the 45 days following the election report.

Termination Report: For exploratory committees, candidate committees, and political committees formed for a single primary, election or referendum, the distribution of surplus may be made at any time after the date of a primary, election or referendum; however it is **required** to be made no later than 90 days after a primary or 90 days after an election or referendum not held in November, or by March 31 of the year following an election or referendum held in November. The termination filing is required to be filed no later than 7 days after the distribution.

For a political committee organized for ongoing political activity, a termination filing may be made whenever the committee has no funds remaining in its account, no debts and the committee wants to conclude all campaign activities.

Deficit Report: For exploratory committees, candidate committees, and political committees formed for a single primary, election or referendum, the treasurer must file a statement 90 days after an election, primary, or referendum not held in November, or on February 7th of the year following an election or referendum held in November if the committee had a deficit. The treasurer is required to file an additional *deficit* report on the 7th day of the month immediately following an increase or decrease in the deficit that is greater than \$500 from the last filed campaign finance disclosure statement. The treasurer is required to report all activity beginning the first day not included in the last filed campaign finance disclosure statement and ending with the last day of the month preceding the day of the filing.

Initial Contribution or Disbursement Report: This report is only applicable to newly registered political committees and it must be itemized and complete as of the first day of a political committee's deposits into the committee's single checking account. The reporting period spans a single day and shall be complete as to **all** of the political committee's transactions on that date (i.e. receipts, disbursement, expenditures, etc.). If the initial contribution or disbursement precedes the filing of the registration statement, the treasurer must file a campaign finance disclosure statement itemizing all of the first day's transactions along with the registration statement. If the contribution or disbursement is made after the filing of the registration statement, the treasurer must file a campaign finance disclosure statement within 48 hours of the first day's transaction(s).

Amendment: This report refers to an edit of all or part of a previous statement for the period noted on line 9. *When filing Amendments, please include the Cover Page, Summary Page Totals and any pages that have been amended.*

9. Period Covered: Record the beginning and ending dates which this statement covers. The Beginning Date must cover the financial activity of the committee beginning the first day *not included* on the last filed campaign finance disclosure statement. The Ending Date must include all financial activity through midnight of the end date. For an **original** filing, these dates may not overlap dates covered in a previously filed campaign finance disclosure statement. For an **amendment**, these dates should be the same as the dates specified in the original filed campaign finance disclosure statement being amended.

If you have previously completed the **SEEC Form 21** (Short Form), and now must file this **SEEC Form 20** because the committee has exceeded \$1,000 in receipts or expenditures, the period covered for ongoing political committees must include all of the reportable transactions beginning January 1 or from the date of their inception if formed after January 1. For committees established for a single primary, election or referendum, the period covered must include all of the reportable transactions since the committee's inception. *Filing Deadlines for standard reports can be found on the Commission's website*

www.ct.gov/seec

COMPLETING THE SUMMARY PAGE TOTALS

10. Certification: This form must be signed by the appointed and properly registered treasurer or deputy treasurer. In addition, print the name of the treasurer or deputy treasurer and the date.

Please Note: At the top of the Summary Page Totals and every page that follows, report the **Name of Committee** and the **Type of Report** in the appropriate boxes.

Name of Committee: Provide the committee's name for reference purposes in order that the filing repository can reconnect these pages with the SEEC Form 20 should the two become separated.

Type of Report: Record what type of report is being filed as marked on the Cover Page on line 8, such as "July 10."

In Column B, the term **aggregate** refers to the **total** amount received or expended, as the case may be, for the category of receipt or expenditure:

- **From January 1 through the close of the reporting period:** If the committee filing this statement is an Ongoing Political Committee or Party Committee. *Example:* Line 13, Column B would reflect the total amount of individual contributions received since January 1 of the current year.
- **From the inception of the committee through the close of the reporting period:** If the committee filing this statement is an Exploratory Committee, Candidate Committee, or Durational Political Committee. **Please Note:** A durational political committee is one formed for a single campaign (election, primary, referendum). *Example:* Line 13, Column B would reflect the total amount of individual contributions received since the committee was formed.

Line 11

In Column B, enter the monetary balance on hand on January 1 of the current year for all ongoing political committees and party committees. Candidate, exploratory and durational political committees should enter zero (0) because that was the balance at the time of the committee's inception.

Line 12

In Column A, enter the cash balance on hand at the beginning of the reporting period. The beginning balance of this statement should correspond with the **ending** balance of the last **previously** filed SEEC Form 20. If this is the committee's first statement, then the balance entered will be zero (0).

Line 13

In Column A, enter the total sum of **Sections A and B** reported on the bottom of page 3. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 13, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 13, Column A from prior statements since the committee's inception).

Line 14

In Column A, enter the total sum of **Sections C1 and C2** reported on the bottom of page 4. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 14, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 14, Column A from prior statements since the committee's inception).

Line 15

In Column A, enter the total of monetary receipts in **Sections D through K** of this statement; bring the total forward from the Summary of Other Monetary Receipts reported on the bottom of page 7. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 15, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 15, Column A from prior statements since the committee's inception).

COMPLETING THE SUMMARY PAGE TOTALS *continued***Line 16a**

In Column A, enter the total of **Section L1** (Subpart 1 + Subpart 3) reported on bottom of page 8. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 16a, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 16a, Column A from prior statements since the committee's inception).

Line 16b

Per Public Act 11-48, effective January 1, 2012 committees are no longer required to itemize small individual purchases from a committee tag sale, auction, or a sale of donated items. **Section L2** *has been removed*.

Line 16c

In Column A, enter the total of **Section L3** reported on bottom of page 9. In Column B, enter the total for the calendar year, if a party committee or ongoing political committee (add all amounts entered on line 16c, Column A from prior statements for the year), or the total since the committee's establishment for municipal candidate committees or durational political committees other than exploratory committees (add all amounts entered on line 16c, Column A from prior statements since the committee's inception).

Line 17

In both Columns A and B, add the amounts for lines 13—16c and enter total on line 17.

Line 18

For Column A, add the amount reported on line 17 to the amount entered on line 12, and enter total.

For Column B, add the amount reported on line 17 to the amount entered on line 11, and enter total.

Line 19

In Column A, enter the total paid committee expenditures for the period in **Section P** on bottom of page 13. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 19, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 19, Column A from prior statements since the committee's inception).

Line 20

In both Columns A and B, subtract amount on line 19 from the amount on line 18 and enter the total.

Line 21

In Column A, enter the total of **Section L4** reported on bottom of page 10. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 21, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 21, Column A from prior statements since the committee's inception).

Line 22

In Column A, enter the total of **Section L5** reported on the bottom of page 11. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 22, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 22, Column A from prior statements since the committee's inception).

Line 23

In Column A, enter the total of **Section M** reported on bottom of page 12. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 23, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 23, Column A from prior statements since the committee's inception).

COMPLETING THE SUMMARY PAGE TOTALS *continued***Line 24**

In Column A, enter the total of **Section N** reported on bottom of page 12. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 24, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 24, Column A from prior statements since the committee's inception).

Line 25

In Column A, enter the total unpaid beginning loan balance which is currently outstanding.

Line 25a

In Column A, enter the total of **Section D** reported on page 5. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 25a, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 25a, Column A from prior statements since the committee's inception).

Line 25b

In Column A, enter any interest charges or penalties assessed on the loan, which increases the total amount owed to the lender, since the last statement. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 25b, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 25b, Column A from prior statements since the committee's inception).

Line 25c

In Column A, enter any payments made this period on the outstanding committee loan balance (which will be reported in **Section P**, "Expenses Paid by Committee," with the code **LOAN**). In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 25c, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 25c, Column A from prior statements since the committee's inception).

Line 25d

For both Columns A and B, add lines 25, 25a, 25b and then subtract line 25c from that amount.

Line 26

In Column A, enter the total of **Section Q** reported on bottom of page 14. In Column B, enter the total since the committee's establishment (add all amounts entered on line 26, Column A from prior statements since the committee's inception for a candidate committee, slate committee, exploratory committee or from the time that the party committee became the authorized funding vehicle for two or more candidates).

Line 27

In Column A, enter the total of **Section R** reported on bottom of page 15. In Column B, enter the total for the calendar year, if an ongoing political or party committee (add all amounts entered on line 27, Column A from prior statements for the year), or the total since the committee's establishment for candidate, exploratory and durational political committees (add all amounts entered on line 27, Column A from prior statements since the committee's inception).

Line 28

In Column A, enter the total of **Section S** reported on page 16 for this period.

Line 28a

In Column A, enter the total of all outstanding expenses incurred from prior reporting periods which are still unpaid as of this reporting period plus any amounts reported this period. This amount is also reported on the last line in **Section S** on page 16.

PART I. MONETARY RECEIPTS

Part I requires the treasurer to disclose all contributions and other funds received by the committee in Sections A through K, dependent upon the source, amount and nature of the monetary receipt. Treasurers must deposit contributions and other funds within 20 days of receipt.

A. Total Contributions from Small Contributors

In Section A, report the total amount received from *small contributors* for the period covered by this statement. A *small contributor* is an **individual** who has contributed **\$50 or less** to date. A treasurer is **permitted** to itemize each contribution, irrespective of amount, and report all of the individual contributors in Section B, "Itemized Contributions from Individuals." If you have itemized a contribution in Section B, **do not** disclose this contribution in Section A. Internal documentation of the names and addresses of small contributors reported in Section A must be kept by the treasurer in order to determine when an individual has exceeded the \$50 threshold. All such internal records are subject to audit by the Commission. Any contributions that have exceeded the \$50 threshold must be itemized in Section B.

EXAMPLE: John Doe contributed \$20 in a previous period and that amount was included in the total reported in Section A of the previous filing. In the current reporting period, John Doe has contributed an additional \$40; therefore his total contributions in the aggregate are \$60. John Doe is no longer considered a small contributor and the contribution must be reported in Section B along with all of the other required information for that section. His contribution for the period would be reported as \$40 and his aggregate contributions to date reported as \$60.

Subtotal Section A: Record the total amount from small contributors received for the period.

B. Itemized Contributions from Individuals

In Section B, report monetary contributions from individuals that are in **excess of \$50 in the aggregate** to date. Each contribution has to be reported separately.

Last Name, First Name, Middle Initial, Residential Street Address, City, State, and Zip Code: Record the name and *residential* street address for each contributor. The treasurer may enter an alternate address in lieu of an individual's residential address *only* if the contributor has made known to the treasurer that the contributor is in the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or has protected address status under General Statutes § 1-217. *Business Addresses or Post Office Boxes are not acceptable for residential street address.*

Principal Occupation and Name of Employer: Record the individual's principal occupation and name of employer if the contributor has given in **excess of \$100 aggregate** contributions to date. For a party committee or a political committee authorized to contribute to statewide or General Assembly candidates, contributors must disclose name of employer if the contributor has given in **excess of \$50 aggregate** contributions to date.

Is contributor a lobbyist, spouse, or dependent child of a lobbyist? Answer the questions by checking the appropriate **Yes** or **No** box. **Please Note:** Certain committees are limited in the amount and timing of the lobbyist contributions they may receive. *Information regarding these limitations is available on the Commission's website www.ct.gov/seec*

If the committee filing this statement is a candidate committee, town committee or slate committee that is financing a candidate for the Chief Executive Officer of a municipality (i.e. Mayor, First Selectman): If the aggregate contributions from an individual are in excess of \$400, the treasurer must indicate if the individual or "business with which he/she is associated" has a contract with that municipality **and** the contract is valued at more than \$5,000, by checking off the appropriate box. *"Business with which he is associated" means the contributor is a director, officer, owner, partner, or stockholder of 5% or more of the business.*

B. Itemized Contributions from Individuals *continued*

Is this contribution associated with an event reported in Section L1?: Check the appropriate *Yes* or *No* box. If *Yes*, record the “Event #” as reported in Section L1.

Is the contributor a principal of a state contractor or prospective state contractor?: Check the appropriate *Yes* or *No* box. If *Yes*, indicate which branch or branches of government the contract is with. *Applicable only to party committees or political committees authorized to contribute to statewide or General Assembly candidates. Please Note:* These committees are prohibited from receiving contributions from principals of state contractors. *Information regarding these prohibitions is available on the Commission’s website www.ct.gov/seec*

Amount of Contribution: Record the amount of the individual contribution.

Method of Contribution: Indicate the manner in which the contribution was received — either *Cash, Personal Check, Credit / Debit Card, Payroll Deduction, or Money Order*.

Date Received: Record the date that the contribution was **received by the committee**. This date may differ from the date written on the check or the date of deposit.

Aggregate Contributions: Add the total of all of the individual’s aggregate contributions and record the amount. Aggregate is the total for the calendar year for an ongoing political committee or a party committee *or* the total since the committee’s establishment for a candidate, exploratory or durational political committee. When determining the aggregate contribution amount from an individual, the amount of any “In-Kind Contributions” reported in **Section M** must also be included in the total.

SUBTOTAL Section B – This Page: Add together each individual contribution reported on page 3 in Section B and record the total.

TOTAL of additional Section B Pages: Total and record the amount of all additional Section B pages (if applicable).

TOTAL OF ALL CONTRIBUTIONS FROM INDIVIDUALS: Add together all of the amounts reported in Section A and all Section B pages of this filing. Record the amount on this line and on **Line 13, Column A** of the Summary Page Totals.

C1. Contributions from Other Committees

In Section C1, report all **monetary** contributions received from **other committees** during this period. This includes distribution of funds from an ongoing political committee that is terminating. *Please Note:* Distribution of surplus funds received from a candidate committee or durational political committee is reported in Section C2.

Name of Committee, Name of Treasurer, Address, City, State, and Zip Code: Record the donor committee’s full name (or acronym if known), address, and name of its treasurer.

Is this contribution associated with an event reported in Section L1?: Check the appropriate *Yes* or *No* box. If *Yes*, report the “Event #” as reported in Section L1.

Amount of Contribution: Record the amount of the committee contribution.

Date Received: Record the date that the contribution was received by the committee. This date may differ from the date written on the check or the date of deposit.

Aggregate Contributions: Add together all of the donor committee’s contributions to date and record the amount. When determining the aggregate contribution amount, include the amount of any “In-Kind Contributions” reported in **Section M** in the aggregate total.

C2. Reimbursements, Payments or Surplus Distributions from other Committees

In Section C2, report monetary receipts from other committees that are **NOT** contributions during this period. These are generally reimbursements from other committees for joint expenditures. For party committees and political committees, use this section for receipt of surplus distribution from a terminating candidate committee, exploratory committee or durational political committee. **Please Note:** Monies received from an ongoing political committee that is terminating are considered contributions and must be reported in Section C1 "Contributions from Other Committees."

Examples of joint expenditures include: A candidate committee's reimbursement of another candidate committee for its *pro rata* share of the expense associated with operating a joint headquarters, purchasing joint advertising or a candidate committee's payment for the use of a party committee's bulk mail permit.

Name of Committee, Name of Treasurer, Address, City, State, and Zip Code: Record the other committee's full name (or acronym if known) and address, and the name of its treasurer.

Date Received: Record the date that the funds were received by the committee. This date may differ from the date written on the check or the date of deposit.

Expenditure #: If payment type is *reimbursement for shared expense*, record the Expenditure # of the expense being reimbursed as assigned in the applicable expenditure section (Sections P—T).

Payment Type: Indicate the purpose for which the funds were received either *Reimbursement for shared expense* or *Surplus Distribution*.

Amount of Receipt: Record the amount of the reimbursement, payment, or surplus distribution.

Description: Provide a brief description of the transaction.

SUBTOTAL Section C – This Page: Add together the amount of each monetary receipt reported on page 4 in Sections C1 and C2 and record the total.

TOTAL of additional Section C Pages: Total and record the amount of all additional Section C pages (if applicable).

TOTAL OF ALL COMMITTEE CONTRIBUTIONS AND RECEIPTS: Add together all of the amounts reported in all Section C pages of this filing. Record the amount on this line and on **Line 14, Column A** of the Summary Page Totals.

D. Loans Received this Period

In Section D, report separately each loan received during this period. Proper documentation and internal recordkeeping is critical when receiving loans from any source. All loans should be documented in a manner that expresses the terms of the loan (i.e. loan term, interest, payment amounts, etc.). A loan from an individual or another committee is considered a contribution until the loan is repaid and the amount of the loan must be within the permissible limits for the contributor. A loan from a bank is **NOT** a contribution, provided it is made in the ordinary course of business. A candidate may loan any amount of personal funds to his own candidate committee.

Name of Lender, Street Address, City, State, and Zip Code: Record the name and address of the lender of the loan.

Source of Loan: Check the appropriate box for the source of the loan: *Bank*, *Candidate*, *Individual*, or *Other Committee*.

Date of Receipt: Record the date that the loan was received by the committee. This date may differ from the date written on the check or the date of deposit.

Is there a Cosigner or Guarantor of this loan?: Check the appropriate *Yes* or *No* box.

D. Loans Received This Period *continued*

Name of Cosigner/Guarantor, Street Address, City, State, and Zip Code: If applicable, record the name and the address of the Cosigner/Guarantor.

Amount Received: Record the amount of the loan.

TOTAL SECTION D: Add together each individual loan reported in Section D of this filing and record the total on this line and on **Line 25a, Column A** of the Summary Page Totals. This total must also be reported on **page 7** on the line "Total Loans Received this Period" (Section D).

If a candidate forgives a loan which he or she made to his/her own candidate committee, proper reconciliation must be made as follows:

1. On line 25d of the Summary Page Totals, reflect the amount of the outstanding loans once the candidate has forgiven his portion; if the candidate is the only lender to the committee, this balance would be zero.
2. In Section Q, "Campaign Expenses Paid by Candidate," report the candidate's name as payee and the amount which is going to be forgiven and the date the loan was forgiven as the date of payment. Also record in the description field "loan forgiven" and the date the original loan was made.

E. Receipts from Entities other than Individuals or Other Committees

Section E is applicable to Referendum Committees **ONLY**. Such committees may accept contributions from business entities, labor unions, and other organizations and associations, within certain limits prescribed in General Statutes § 9-620. Contributions or reimbursements to a referendum committee received from **individuals** or other registered **committees** in the State of Connecticut are to be reported in either Section B, C1 or C2, as appropriate.

Name of Entity, Street Address, City, State, and Zip Code: Record the donor entity's name and address.

Date Received: Record the date that the contribution was received by the committee. This date may differ from the date written on the check or the date of deposit.

Amount Received: Record the amount of the receipt.

Aggregate Contributions: Add the total of all of the receipts from the same entity to date and enter the amount.

TOTAL SECTION E: Add together each receipt from an entity reported in Section E of this filing and record the total on this line and on **page 7** on the line "Total Receipts from Entities other than Individuals or Other Committees" (Section E).

F. Amount Transferred from Affiliated Business Treasury

Section F is applicable to political committees established by a business entity **ONLY**. In general, a business entity is prohibited from making contributions to any committee [See General Statutes § 9-613(a)] but it may make reasonable and necessary transfers of funds to its affiliated committee to defray the administrative costs of operating the committee or the costs for soliciting contributions for the committee. A transfer for a fundraiser is "reasonable and necessary" if the aggregate of that transfer plus any other payments made by the business entity in connection with the event does not exceed one-third of the total contributions received by the committee in connection with the fundraiser.

Date of Receipt: Record the date that the funds were received by the committee. This date may differ from the date written on the check or the date of deposit.

F. Amount Transferred from Affiliated Business Treasury *continued*

Is this contribution associated with an event reported in Section L1? Check the appropriate *Yes* or *No* box. If *Yes*, record the “Event #” as reported in Section L1. By identifying the event associated with the transfer of funds to the committee, the committee will be able to ensure that the transfer does not exceed one-third of the contributions received by the committee at that event.

Amount: Record the amount of the transfer.

TOTAL SECTION F: Add together each transfer from an affiliated business entity reported in Section F of this filing and record the total on this line and on **page 7** on the line “Total Amount Transferred from Affiliated Business Treasury” (Section F).

G. Amount Transferred from Affiliated Labor Union or Other Organization Treasury

Section G is only applicable to political committees established by a labor union or dues receiving professional association. If at the time of registration, a political committee established by a labor union or other organization indicates that the committee will be funded exclusively by the labor union/organization’s treasury, such transfers may be made directly to the committee and are reported here. If the political committee indicates that it will be funded exclusively by voluntary contributions from its members, these contributions are reported in **Section B** “Itemized Contributions from Individuals” and it should not be using this section.

Date of Receipt: Record the date that the funds were received by the committee. This date may differ from the date written on the check or the date of deposit.

Amount: Record the amount of the transfer.

TOTAL SECTION G: Add together each transfer from an affiliated labor union or other organization treasury reported in Section G of this filing and record the total on this line and on **page 7** on the line “Total Amount Transferred from Affiliated Labor Union or Other Organization Treasury” (Section G).

H. Personal Funds of the Candidate Received this Period

Section H is applicable to Candidate Committees **ONLY**. In Section H, report a candidate’s donation of his or her personal funds into the committee’s account **without** the expectation of repayment. The donation of funds with the expectation of repayment is a loan from the candidate and must be reported in **Section D** “Loans Received this Period.”

Date of Receipt: Record the date that the transaction was received by the committee. This date may differ from the date written on the check or the date of deposit.

Method of Payment: Check the appropriate box indicating the way in which the transaction was received, either *Cash*, *Personal Check*, or *Credit /Debit Card*.

Amount: Record the amount of the receipt.

TOTAL SECTION H: Add together each receipt of personal funds from the candidate reported in Section H of this filing and record the total on this line and on **page 7** on the line “Total Amount of Personal Funds of the Candidate Received this Period” (Section H).

I. Anonymous Contributions

Per Public Act 11-48, Anonymous Contributions may no longer be deposited in *any* amount. If a committee receives an anonymous contribution, the campaign treasurer shall immediately remit the contribution to the State Elections Enforcement Commission for deposit in the General Fund.

J. Interest from Deposits in Authorized Accounts

In Section J, record all interest earned on any committee account during this reporting period.

Name of Institution, Street Address, City, State, and Zip Code: Record the banking institution's name and address.

Date Received: Record the date that the interest was credited to the committee's account.

Amount: Record the amount of the interest credited to the committee's account.

TOTAL SECTION J: Add together the interest earned reported in Section J of this filing and record the total on this line and on **page 7** on the line "Total Amount of Interest from Deposits in Authorized Accounts" (Section J).

K. Miscellaneous Monetary Receipts not Considered Contributions

In Section K, record miscellaneous monetary receipts **NOT** considered contributions. Examples include rebates, credits, and refunds.

Name, Street Address, City, State, and Zip Code: Record the donor's name and address.

Date of Transaction: Record the date that the funds were received by the committee.

Amount Received: Record the amount of the receipt.

Description: Describe the reason for the monetary receipt. *Example:* Refund of security deposit from banquet hall.

TOTAL SECTION K: Add together each miscellaneous monetary receipt reported in Section K of this filing and record the total on this line and on **page 7** on the line "Total Miscellaneous Monetary Receipts not Considered Contributions" (Section K).

SUMMARY OF OTHER MONETARY RECEIPTS

Total of Other Monetary Receipts: Add the subtotals of Sections D through K of this filing and record the total. Enter this total on **Line 15, Column A** of the Summary Page Totals.

PART II. EVENT ACTIVITY

Part II requires the treasurer to disclose information concerning the types of events conducted by the committee to raise funds or to promote the committee.

L1. Event Information

In Section L1, assign a unique event number in the box marked “Event #” for each event by reporting the date in which the event was held (mmddyy) together with a letter, in alphabetical order (A through Z), at the end of the date reported, to identify the order in which the events were held. If there is only one event held on a single day, the letter assigned will be “A.”

EXAMPLE: If two events were held on the same day, March 8, 2015, the following would be reported on the form:

1st event	Event # 030815A
2nd event	Event # 030815B

The purpose of assigning this unique number is to link the committee’s receipts and expenditures associated with this particular event.

Event #: Record the unique “Event Number” for the specific event using the format described above.

Description: Provide a brief description of the event.

Was this a fundraising event?: Check the appropriate Yes or No box to indicate whether or not the event was a fundraiser.

Street Address, City, State, and Zip Code: Record the address of the venue where the event was held.

Subpart 1: ALL COMMITTEES

Was this event hosted at a personal residence?: Check the appropriate *Yes* or *No* box. If the event was held at an individual’s personal residence, check the *Yes* box, and proceed to **Section L5** to complete the itemization required for any “In-Kind Donations Not Considered Contributions Associated with a House Party.” *See Section L5 for detailed instructions.*

Did the fundraiser include goods or services donated by a business entity of up to \$200 or items donated by an individual of up to \$100?: If the event includes goods or services donated by a business entity with a value of up to \$200 or items donated by an individual with a value of up to \$100, check the *Yes* box, and proceed to **Section L4** “In-Kind Donations Not Considered Contributions” to complete the itemization required. *See Section L4 for detailed instructions.*

Was this fundraiser a tag sale, auction or other sale of donated items with purchases from an individual of up to \$100?: If the event was a tag sale, auction, or other sale of donated items, check the *Yes* box, and enter the total receipts from the sale of donated items. The receipts are NOT contributions provided the total purchase of all items by one individual **does not exceed \$100 per event**. However, if an individual purchases an aggregate amount at a particular event in excess of \$100, *the entire amount is a contribution* and is reported as a contribution in **Section B**. **Please Note:** *These receipts are no longer required to be itemized — See Public Act 11-48.*

EXAMPLE: John Doe purchases a MP3 player at the tag sale for \$40. This transaction is reported in Section L1 Subpart 1 along with other purchases by individuals that are \$100 or less. If however, John Doe also purchases a table for \$65 at the same tag sale, his aggregate purchases are now \$105 and the entire amount (\$105) is reported in Section B as an itemized contribution along with a reference to the event number assigned in Section L1.

L1. Event Information *continued*

Subpart 2: PARTY COMMITTEES, MUNICIPAL CANDIDATES AND POLITICAL COMMITTEES OTHER THAN EXPLORATORY COMMITTEES

Were there purchases of advertising space in a program book or on a sign associated with this fundraiser?: If there were purchases of advertising space in a program book or sign(s) at a fundraising affair sponsored by a party committee, municipal candidate or political committee (other than an exploratory committee), check the **Yes** box, and proceed to **Section L3** to complete the itemization required for “Purchases of Advertising Space in a Program Book or on a Fundraiser Sign.” *See Section L3 for detailed instructions.*

Subpart 3: TOWN COMMITTEES ONLY

Did your committee sell food or beverage at a fair or similar mass gathering held within the state with this fundraiser?: Record the total receipts from the sales of food or beverage at a fair or similar mass gathering (i.e. county fair, apple festival, etc.) *not* hosted by the town committee, held within the state, that are not considered contributions to the committee. The sale of food and beverage at these venues to one individual which is \$50 or less is **NOT** a contribution to the committee, and may be added together with all such proceeds from the event and reported as “Total Receipts from Small Purchases” in this section. If the sale to one individual, however, is in excess of \$50, then the entire purchase is deemed a contribution and is reportable in **Section B**, “Itemized Contributions from Individuals.”

SUBTOTAL Section L1—Subpart 1 Total Receipts from Sale of Donated Items – This Page: Add together the total receipts from small purchases in Section L1, Subpart 1 for each event reported on page 8 and record the total. *All Committees.*

SUBTOTAL Section L1—Subpart 3 Total Receipts from Food Purchases – This Page: Add together the total receipts from food purchases in Section L1, Subpart 3 for each event reported on page 8 and record the total. *Town Committees ONLY.*

TOTAL of additional Section L1 Pages: Total and record the amount of all additional Section L1 pages (if applicable).

TOTAL OF ALL RECEIPTS FROM SMALL PURCHASES: Add together all of the amounts reported in all Section L1 pages of this filing. Record the amount on this line and on **Line 16a, Column A** of the Summary Page Totals.

~~L2. Proceeds from Tag Sale, Auction, or Other Sale of Donated Items~~

Per Public Act 11-48, effective January 1, 2012 committees are no longer required to itemize small individual purchases from a committee tag sale, auction, or sale of donated items. *See new reporting requirements in Section L1 Subpart 1.*

L3. Purchases of Advertising in a Program Book or on a Sign

Section L3 is applicable to fundraiser events for party committees, municipal candidates and political committees.

Exploratory committees and Judge of Probate candidate committees may not make use of the Advertising Program Book or Sign exception. The amounts reported in this section are NOT contributions provided the total purchase price of advertising space in a program book or on a fundraiser sign **does not exceed \$250** for a business entity or **\$50** for other persons (other persons includes individuals, sole proprietorships, other committees, labor unions or other organizations, and trade or professional associations which receive their funds exclusively from membership dues). The \$250/\$50 exemption applies to *aggregate purchases* of advertisements in program books or signs at fundraisers from the same party or ongoing political committee *in a calendar year* or from the same candidate committee or durational political committee *in an election cycle*.

L3. Purchases of Advertising in a Program Book or on a Fundraiser Sign *continued*

Name of Purchaser, Street Address, City, State, and Zip Code: Record the purchaser's name and address. The treasurer may enter an alternate address in lieu of an individual's residential address *only* if the contributor has made known to the treasurer that the contributor is in the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or has protected address status under General Statutes § 1-217. *Business Addresses or Post Office Boxes are not acceptable for residential street address.*

Purchase Made By: Check the appropriate box to indicate the source of the purchase, either **Business Entity**, **Individual/Sole Proprietorship** or **Other**. "Business entity" includes the following...Stock corporations, banks, insurance companies, business associations...partnerships, joint ventures, private foundations...trusts or estates...corporations... "Other" includes other committees, labor unions or other organizations, and trade or professional associations which receive their funds exclusively from membership dues.

Date Received: Record the date that the payment for the ad book or sign was received by the committee.

Event #: Use the unique "Event #" originally reported in Section L1.

Aggregate Purchases for All Events: Add up the total of all advertising purchases made by the same purchaser, including this purchase, during the calendar year for party committees and ongoing political committees or during the election cycle for municipal candidates and durational political committees, and record the total amount.

Amount of Program Ad Purchase: Record the amount of the purchase of advertising in a program book for this event.

Amount of Sign Purchase: Record the amount of the purchase of advertising on a fundraiser sign for this event.

SUBTOTAL Section L3—Total Purchases of Advertising in Program Book – This Page: Add together the total purchases of advertising in a program book in Section L3 for each event reported on page 9 and record the total.

SUBTOTAL Section L3—Total Purchases of Advertising on a Sign – This Page: Add together the total purchases of advertising on a fundraiser sign in Section L3 for each event reported on page 9 and record the total.

TOTAL of additional Section L3 Pages: Total and record the amount of all additional Section L3 pages (if applicable).

TOTAL OF ALL PURCHASES OF ADVERTISING IN A PROGRAM BOOK OR ON A SIGN: Add together all of the amounts reported in all Section L3 pages of this filing. Record the amount on this line and on **Line 16c, Column A** of the Summary Page Totals.

L4. In-Kind Donations Not Considered Contributions

In Section L4, report the donation of items to a committee in connection with a fundraising affair that are NOT contributions. These items include: Personal property with a value up to **\$100** donated by an individual for a fundraiser and goods or services donated by a business entity with a value up to **\$200** for a fundraiser (*the business must be in the business of selling those items, i.e. a package store can donate a bottle of wine*).

Name of Donor, Street Address, City, State, and Zip Code: Record the donor's name and address. The treasurer may enter an alternate address in lieu of an individual's residential address *only* if the contributor has made known to the treasurer that the contributor is in the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or has protected address status under General Statutes § 1-217. *Business Addresses or Post Office Boxes are not acceptable for residential street address.*

Donation Given By: Indicate the source of the donation, either **Business Entity**, **Individual**, or **Sole Proprietorship**. "Business entity" includes the following...Stock corporations, banks, insurance companies, business associations... partnerships, joint ventures, private foundations...trusts or estates...corporations... "Sole proprietorship" includes sole proprietorships and solely owned professional corporations.

L4. In-Kind Donations Not Considered Contributions *continued*

Description of Donation: Provide a brief description of the item(s) donated. Each item should be reported separately, unless the donor gives multiple of the same item (i.e. 25 books).

Fair Market Value of Donation: Record the fair market value of the donated item(s).

Date Received: Record the date that the committee received the item(s).

Event #: Use the unique "Event #" originally reported in Section L1.

Aggregate Value for this Event: Add up the total of all of the individual's or business' donations for this event and record the amount.

SUBTOTAL Section L4 – This Page: Add the amount of each individual item donated reported on page 10 in Section L4 and record the amount.

TOTAL of additional Section L4 Pages: Total and record the amount of all additional Section L4 pages (if applicable).

TOTAL OF ALL IN-KIND DONATIONS NOT CONSIDERED CONTRIBUTIONS: Add together all of the amounts reported in all Section L4 pages of this filing. Record the amount on this line and on **Line 21, Column A** of the Summary Page Totals.

L5. In-Kind Donations Not Considered Contributions Associated with a House Party

In Section L5, report the donation of items to a committee by the **host(s) of a house party** held at a personal residence. This event may either be a fundraising affair or a non-fundraiser (meet and greet).

These items include: The cost of invitations, food or beverages voluntarily provided to a candidate or committee by an individual hosting an event at the individual's residence or community room at the residence, provided the cumulative value is not in excess of **\$400** with respect to any single event (or \$800 with respect to an event hosted by two or more individuals at a host's residence). **Please Note:** An individual is limited to \$800 in cumulative value of total expenses per election cycle in the case of multiple parties held for the same candidate, slate or durational political committee and \$800 per calendar year in the case of multiple parties held for a party committee or ongoing political committee.

While the host(s) must generally pay for all costs associated with the event in order to make use of the house party exemption, a candidate or committee may pay for a portion or all of the costs of the invitation for the event. Such invitation costs paid for by the committee do NOT count against the \$400/\$800 aggregate limits.

If the event is **NOT** a fundraising affair, attendees of the event are allowed to bring food or beverages to the event without these donations being considered a contribution so long as they do not exceed **\$50** in value. *Treasurers no longer itemize the receipt of such food and beverage provided for a non-fundraiser as long as the aggregate value of the food and beverage does not exceed \$50.*

Name of Host, Street Address, City, State, and Zip Code: Record the host's name and residential address. The treasurer may enter an alternate address in lieu of an individual's residential address *only* if the contributor has made known to the treasurer that the contributor is in the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or has protected address status under General Statutes § 1-217. *Business Addresses or Post Office Boxes are not acceptable for residential street address.*

Is this event supporting more than one candidate or committee?: Check the appropriate *Yes* or *No* box to indicate whether or not the house party was supporting more than one candidate or committee. If **Yes**, complete Itemization in **Section L5 Addendum**.

L5. In-Kind Donations Not Considered Contributions Associated with a House Party *continued*

Description of Donation: Provide a brief description of the item(s) donated.

Fair Market Value of Donation: Record the fair market value of the donated items (food, beverage, invitation, etc.).

Event #: Use the “Event #” originally reported in Section L1 to indicate the unique “event number.”

Aggregate Value of this Event—all hosts: Record the aggregate fair market value of all house party related expenses made **by all hosts** for this event.

Aggregate Value for all Events—this host/candidate: Record the aggregate fair market value of all house party related expenses made **by this host** to the candidate, slate, or durational political committee for the election cycle or, in the case of a party committee or ongoing political committee, for the calendar year.

SUBTOTAL Section L5 – This Page: Add together the fair market value of all house party related expenses reported on page 11 in Section L5 and record the total.

TOTAL of additional Section L5 Pages: Total and record the amount of all additional Section L5 pages (if applicable).

TOTAL OF ALL IN-KIND DONATIONS NOT CONSIDERED CONTRIBUTIONS ASSOCIATED WITH A HOUSE PARTY: Add together all of the amounts reported in all Section L5 pages of this filing. Record the amount on this line and on **Line 22, Column A** of the Summary Page Totals.

PART III. NON-MONETARY RECEIPTS

In Part III the treasurer is required to disclose In-Kind Contributions and refundable deposits to the telephone company.

M. In-Kind Contributions

In Section M, report separately each In-Kind Contribution received by the committee during the period covered by this statement. In-Kind Contributions include the provision of goods, services, or other items at no charge or at less than fair market value, to the committee. Volunteer services by individuals are not considered In-Kind Contributions.

The contribution limits and restrictions which apply to a particular contributor apply to the combination of monetary *and* non-monetary contributions. In-Kind Contributions made by the same contributor must be *aggregated* together to determine if the contribution limit has been exceeded.

EXAMPLE: John Doe’s contribution limit to an ongoing political committee is \$1,000 per year. If John Doe contributes \$200 worth of stationery to the committee (an In-Kind Contribution), he may only make an additional \$800 contribution to the committee during the calendar year, whether in the form of a monetary contribution or contribution In-Kind, or any combination thereof.

Name, Street Address, City, State, and Zip Code: Record the contributor’s name and address. The treasurer may enter an alternate address in lieu of an individual’s residential address *only* if the individual contributor has made known to the treasurer that the contributor is in the Address Confidentiality Program pursuant to General Statutes § 54-240(a) or has protected address status under General Statutes § 1-217. *Business Addresses or Post Office Boxes are not acceptable for residential street address.*

M. In-Kind Contributions *continued*

Type of Contributor: Check the appropriate box for the source of the In-Kind Contribution, either *Committee*, *Individual / Sole Proprietorship*, or *Other*. Only referendum committees may accept an In-Kind Contribution from an entity other than an individual / sole proprietorship or committee. “**Sole proprietorship**” includes sole proprietorships and solely owned professional corporations. “**Other**” includes business entities, labor organizations and other preexisting organizations and associations.

Date Received: Record the date that the In-Kind Contribution was received by the committee.

Aggregate Contributions: Add up the total of all contributions to date and record the amount. When determining the aggregate contribution amount for an individual, the total of the individual’s *monetary* contributions as reported in **Sections A and B** must *also* be included in this total. When determining the aggregate contribution amount from a committee, the total of the committee’s *monetary* contributions as reported in **Section C** must *also* be included in this total.

Description of In-Kind Contribution: Provide a brief description of the In-Kind Contribution.

Is contributor a lobbyist, spouse, or dependent child of a lobbyist? Answer the questions by checking the appropriate *Yes* or *No* box. **Please Note:** Certain committees are limited in the amount and timing of the lobbyist contributions they may receive. *Information regarding these limitations is available on the Commission’s website www.ct.gov/seec*

If the committee filing this statement is a candidate committee for the Chief Executive Officer of a municipality (i.e. Mayor, First Selectman): If the aggregate contributions from an individual are in excess of \$400, the treasurer must indicate if the individual or “business with which he/she is associated” has a contract with that municipality **and** the contract is valued at more than \$5,000, by checking off the appropriate box. “*Business with which he is associated*” means the contributor is a director, officer, owner, limited or general partner, or stockholder of 5% or more of business.

Fair Market Value of this Contribution: Record the fair market value of the donated item.

Is this contribution associated with an event reported in Section L1?: Check the appropriate *Yes* or *No* box. If *Yes*, record the “Event #” as reported in Section L1.

Is the contributor a principal of a state contractor or prospective state contractor?: Check the appropriate *Yes* or *No* box. If *Yes*, indicate which branch or branches of government the contract is with. *Applicable only to party committees or political committees authorized to contribute to statewide or General Assembly candidates.* **Please Note:** These committees are prohibited from receiving contributions from principals of state contractors. *Information regarding these prohibitions is available on the Commission’s website www.ct.gov/seec*

SUBTOTAL Section M – This Page: Add together each In-Kind Contribution reported on page 12 in Section M and record the total.

TOTAL of additional Section M Pages: Total and record the amount of all additional Section M pages (if applicable).

TOTAL OF ALL IN-KIND CONTRIBUTIONS: Add together all of the amounts reported in all Section M pages of this filing. Record the amount on this line and on **Line 23, Column A** of the Summary Page Totals.

N. Refundable Deposit to Telephone Company

Section N refers only to a refundable deposit by an **individual** from personal funds to benefit the committee, *not deposits made by the committee*. If the committee made the deposit to the Telephone Company, it is reported in **Section P** as an expense of the committee and the refund of the deposit is reported in **Section K** “Miscellaneous Monetary Receipts not Considered Contributions.”

If the deposit is non-refundable to the individual, it is an In-Kind Contribution and must be reported in **Section M**.

N. Refundable Deposit to Telephone Company *continued*

Last Name, First Name, Middle Initial, Residential Street Address, City, State, and Zip Code: Enter the name and address of the individual who made the deposit from personal funds.

Date Deposit Made: Record the date that the deposit was made using the individual's personal funds.

Name of Telephone Company, Street Address, City, State, and Zip Code: Record the name and address of the telephone company to which the refundable deposit was paid.

Amount of Deposit: Record the amount of the deposit.

TOTAL SECTION N: Record the total amount for Section N of this filing on this line and on **Line 24, Column A** of the Summary Page Totals.

~~— O. Non-Monetary Receipts of Organization Expenditures Made by —~~
~~— Legislative Leadership, Legislative Caucus and Party Committee —~~

Per Public Act 11-48, effective January 1, 2012 committees are no longer required to itemize receipt of organization expenditures from Legislative Leadership, Legislative Caucus or Party Committees.

PART IV. EXPENDITURES

In Part IV the treasurer is required to itemize each expenditure, whether it has been paid during the period, or incurred but not yet paid.

This part also provides for the disclosure of expenses paid directly by a candidate on behalf of his/her candidate committee, and of expenses directly paid by committee workers seeking reimbursement.

P. Expenses Paid by Committee

In Section P, separately report each expenditure made from the committee's single checking account during the period covered in this statement. Each time a committee issues a check or uses the committee debit card the transaction **must** be entered here. When a committee makes an expenditure that benefits a different candidate or committee, an indication must be made to identify the expenditure as either "coordinated with reimbursement sought," "coordinated without reimbursement sought," "independent," or as "organization."

If the purpose of the expenditure is a *reimbursement* to the treasurer, a committee worker or consultant, or a candidate being funded by a town committee or a slate committee or if there is a consultant who has paid secondary payees, the **original purchase or payment** made by the committee worker or consultant must **also** be reported in **Section T**, "Itemization of Reimbursements and Secondary Payees."

If the purpose of the expenditure is a *reimbursement* to a candidate being funded by a candidate committee or exploratory committee, the **original purchase** made by the candidate must **also** be reported in **Section Q**, "Campaign Expenses Paid by Candidate."

Name of Payee, Street Address, City, State, and Zip Code: Record the payee's name and address.

Date of Payment: Record the date that the payment was made by the committee.

Method of Payment: Check the box to indicate the method of payment, either **Check** (with accompanying check number), **Debit Card** or **Electronic Funds Transfer (EFT)**. EFT's are direct debit payments, sometimes called electronic checks, for which a business debits the bank account for payment for goods or services.

P. Expenses Paid by Committee *continued*

Purpose of Expenditure: Note the purpose of the expenditure using the Expenditure Code Addendum attached (*pages 27-29*).

Description: Provide a brief description of the expenditure. Certain expenditure codes **require** a description as set forth in the Expenditure Code Addendum attached (*pages 27-29*).

Event #: If the expenditure is associated with an event, record the “Event #” as reported in Section L1.

Amount: Record the amount of the expenditure.

Expenditure #: *To be completed only when the expenditure is Coordinated with reimbursement sought, Coordinated without reimbursement sought, Independent or Organization.* Assign a unique Expenditure #, beginning with the number 0001 and continue sequentially. The purpose of assigning this unique number is to link the committee’s expenditure with their itemization in **Section P Addendum** (*see instructions below*).

Type of Expenditure: Check the appropriate box to note whether the expenditure is ***None of the below***, ***Coordinated with reimbursement sought*** (joint expenditure), ***Coordinated without reimbursement sought*** (in-kind contribution), ***Independent***, or ***Organization***. Unless “None of the below” is selected, complete the **Section P Addendum**. Where these terms are used in Section P and in Sections R, S and T, they mean the following:

None of the below – to be checked only when the expenditure is none of the below, such as when it is an expenditure made by your committee directly to another committee or candidate [i.e. an expenditure coded as POC (payment to another committee), CNTRB (contribution to another committee), or SRPLS (surplus distribution to another committee)] or the expenditure does not in any way involve another committee or candidate [i.e. an expenditure the committee has made to lease office space for itself only, coded as OVHD (overhead)]. If the expenditure by your committee is not made directly to another committee or candidate but still involves another committee or candidate, then one of the four below boxes will be checked – *see descriptions for more information*.

Coordinated with reimbursement sought – an expenditure made by your committee in cooperation or consultation with another committee or candidate for which you seek reimbursement – i.e. a joint expenditure. Note that an expenditure must be reimbursed within a reasonable amount of time to avoid becoming an in-kind contribution. The Commission has said that reimbursements received within 45 days of the date of the expenditure will not be considered an in-kind contribution.

Coordinated without reimbursement sought – an expenditure made by your committee in cooperation or consultation with a candidate or another committee for which you do not seek reimbursement. This is an in-kind contribution to which all applicable limits and prohibitions apply.

Independent – an expenditure made by your committee promoting the success or defeat of a candidate or committee that is made without the consent, participation, or consultation of the candidate or committee or agent thereof.

Organization – an expenditure that may only be made by a legislative leadership, legislative caucus or party committee for the benefit of a candidate or candidate committee. If the expenditure is an organization expenditure, check off the box marked “organization” along with the appropriate circle (A—D) indicating the purpose of the organization expenditure:

A: Party Candidate Listing — includes the preparation, display, mailing, or other distribution of a party candidate listing. A party candidate listing is a communication that lists the name or names of candidate(s) for election to public office, is distributed by public advertising, and is made to promote the success or defeat of any candidate or slate of candidates seeking the nomination for election or election, or for the purpose of aiding or promoting the success or defeat of any referendum question, or the success or defeat of any political party. ***Please Note:*** Party candidate listings ***may not*** solicit funds for or on behalf of a candidate committee.

B: Party Building Document — includes a document created and maintained by a legislative leadership, legislative caucus or party committee for the general purposes of party or caucus building in printed or electronic form that is provided to a candidate who is a member of the party that has established the party committee or who is a member of the party of the caucus or leader who has established the legislative caucus or legislative leadership committee, whichever is applicable. The document may include the following: a party platform; an electronic page providing merchant account services to be used by a candidate for the collection of on-line contributions; a copy of an issue paper; a list of registered voters and voter identification information; and information relating to the requirements of campaign financing.

P. Expenses Paid by Committee *continued*

C: Campaign Event — includes only campaign events at which a candidate or candidates are present.

D: Advisory Services — includes payment for the services of an advisor to provide assistance relating to campaign organization, financing, accounting, strategy, law or media.

If this expenditure benefits another candidate and is therefore either a coordinated, independent or organization expenditure, complete the Section P Addendum:

Record the **Expenditure #** as assigned in Section P. Check the appropriate box, ***Supported*** or ***Opposed***, to indicate whether the candidate(s) or committee(s) was/were supported or opposed by the expenditure. Record the total amount of the expenditure.

Name of Candidate or Committee; Office Sought; Cost Allocated to Candidate or Committee: Report the candidate(s') or committee(s') name(s) and office(s) sought for whom the coordinated, independent or organization expenditure was made. Record the amount of the total expenditure allocated to the candidate or committee.

SUBTOTAL Section P – This Page: Add together each expense paid by the committee reported on page 13 in Section P and record the total.

TOTAL of additional Section P Pages: Total and record the amount of all additional Section P pages (if applicable).

TOTAL OF ALL EXPENSES PAID BY COMMITTEE: Add together all of the amounts reported in all Section P pages of this filing. Record the amount on this line and on **Line 19, Column A** of the Summary Page Totals.

Q. Campaign Expenses Paid by Candidate

In Section Q report any campaign expenses paid directly from personal funds of the candidate. This **section is to be completed by both candidate and exploratory committees**. Each candidate must submit to the campaign treasurer an accounting of any campaign expense paid directly from their personal funds by the close of the reporting period during which these payments were made. The treasurer must indicate whether the candidate is seeking reimbursement. Any expense, irrespective of amount, for which the candidate seeks reimbursement must be reported. In addition, any candidate expense more than \$50 must also be reported, even if the candidate does not wish to be reimbursed. *Exceptions are limited to telephone calls, transportation costs, and meals for which the candidate does not seek reimbursement.*

Report the Committee Check used to actually reimburse the candidate in **Section P**, "Expenses Paid by Committee."

Please Note: Any campaign expense paid with the personal funds of a candidate who has designated an exploratory committee, a political slate committee or a town committee as his/her sole funding source, is *required* to be reimbursed by that committee or these expenses are considered contributions and must be within the applicable aggregate limits for an individual contributing to the given committee. See the Commission's website www.ct.gov/seec for contribution limits.

Name of Payee, Street Address, City, State, and Zip Code: Record the name and address of the vendor, person or entity that the candidate paid directly.

Date of Payment: Record the date that the expenditure was made by the candidate.

Is reimbursement claimed?: Check the appropriate ***Yes*** or ***No*** box.

Purpose of Expenditure: Note the purpose of the expenditure using the Expenditure Code Addendum attached (pages 27-29).

Description: Provide a brief description of the expenditure. Certain expenditure codes require a description as set forth in the Expenditure Code Addendum attached (pages 27-29).

Q. Campaign Expenses Paid by Candidate *continued*

Event #: If the expenditure is associated with an event, record the “Event #” as reported in Section L1.

Amount: Record the amount of the expenditure.

SUBTOTAL Section Q – This Page: Add together each expense paid by the candidate reported on page 14 in Section Q and record the total.

TOTAL of additional Section Q Pages: Total and record the amount of all additional Section Q pages (if applicable).

TOTAL OF ALL EXPENSES PAID BY CANDIDATE: Add together all of the amounts reported in all Section Q pages of this filing. Record the amount on this line and on **Line 26, Column A** of the Summary Page Totals.

If a candidate is seeking reimbursement and is not paid in the same period in which the expense is reported, the debt to the **candidate** is an outstanding expense to the committee, and should also be reported in **Section S**, “Expenses Incurred by Committee but Not Paid During this Period.” In addition, a candidate who did not originally seek reimbursement for expenses, cannot change this indication via amendment by later seeking reimbursement for those expenses, if the election has already been held.

If, however, a candidate who is seeking reimbursement is not paid in full by the committee, the amount can be forgiven by the candidate at any time, without any outstanding obligation owed to the candidate by the committee.

R. Expenses Incurred on Committee Credit Card

In Section R, report each expense charged on the committee-issued credit card by an authorized cardholder. *Payments made using the committee debit card must be recorded in **Section P**.*

Each credit card charge is to be disclosed *in the reporting period in which it is made*, even if payment of the balance was made within the same reporting period. If an outstanding balance remains on the credit card, the committee must report this balance in **Section S**, “Expenses Incurred by Committee but Not Paid During this Period.” *See detailed instructions in Section S.*

Name of Issuing Institution: Record the name of the financial institution that issued the credit card.

Type of Card: Check the appropriate box to denote the type of credit card.

Name of Vendor, Person or Entity, Street Address, City, State, and Zip Code: Record the name and address of the vendor, person or entity being paid with the committee credit card.

Date of Transaction: Record the date that the credit card charge was made by the committee.

Purpose of Expenditure: Note the purpose of the credit card charge using the Expenditure Code Addendum attached (*pages 27-29*).

Description: Provide a brief description of the item(s) charged. Certain expenditure codes **require** a description as set forth in the Expenditure Code Addendum attached (*pages 27-29*).

Event #: If the expenditure is associated with an event, record the “Event #” as reported in Section L1.

Amount: Record the amount of the expense charged on the committee credit card.

R. Expenses Incurred on Committee Credit Card *continued*

Expenditure #: *To be completed only when the expenditure is Coordinated with reimbursement sought, Coordinated without reimbursement sought, Independent or Organization.* Assign a unique Expenditure #, beginning with the number 0001 and continue sequentially. The purpose of assigning this unique number is to link the committee's expenditure with their itemization in **Section R Addendum** (*see instructions below*).

Type of Expenditure: Check the appropriate box to note whether the expenditure is *None of the below*, *Coordinated with reimbursement sought* (joint expenditure), *Coordinated without reimbursement sought* (in-kind contribution), *Independent*, or *Organization*. For an explanation of these terms, please see the instructions for "Type of Expenditure" in Section P. Unless "None of the below" is selected, complete the **Section R Addendum**:

Record the **Expenditure #** as assigned in Section R. Check the appropriate box, *Supported* or *Opposed*, to indicate whether the candidate(s) or committee(s) was/were supported or opposed by the expenditure. Record the total amount of the expenditure.

Name of Candidate or Committee; Office Sought; Cost Allocated to Candidate or Committee: Report the candidate(s') or committee(s') name(s) and office(s) sought for whom the coordinated, independent or organization expenditure was made. Record the amount of the total expenditure allocated to the candidate or committee.

SUBTOTAL Section R – This Page: Add together each expense reported on page 15 in Section R and record the total.

TOTAL of additional Section R Pages: Total and record the amount of all additional Section R pages (if applicable).

TOTAL OF ALL EXPENSES INCURRED ON COMMITTEE CREDIT CARD: Add together all of the amounts reported in all Section R pages of this filing. Record the amount on this line and on **Line 27, Column A** of the Summary Page Totals.

S. Expenses Incurred by Committee but Not Paid During this Period

In Section S, separately report each expense **incurred but not paid** as of the close of the reporting period covered by this statement. When uncertain of the exact amount of the expense, the treasurer should make a good faith estimate of the amount incurred. If there is an outstanding balance on a credit card, the outstanding amount must be reported in this section along with the name of the issuing institution as the creditor. A committee worker to whom the committee owes a reimbursement or payment for services rendered should also be reported in this section.

When a committee incurs an expense that benefits a different candidate or other committee (party committee, political committee, candidate committee), the treasurer must indicate whether the expense incurred is either "coordinated with reimbursement sought," "coordinated without reimbursement sought," "independent" or an "organization" expenditure.

Name of Creditor, Street Address, City, State, and Zip Code: Record the creditor's name and address.

Date Incurred: Record the date that the expense was incurred by the committee.

Purpose of Expenditure: Note the purpose of the expense incurred using the Expenditure Code Addendum attached (*pages 27-29*).

Description: Provide a brief description of the expenditure. Certain expenditure codes **require** a description as set forth in the Expenditure Code Addendum attached (*pages 27-29*).

Event #: If the expenditure is associated with an event, record the "Event #" as reported in Section L1.

Amount Incurred: Record the amount of the expense incurred (*estimate or actual*).

S. Expenses Incurred by Committee but Not Paid During this Period *continued*

Expenditure #: *To be completed only when the expenditure is Coordinated with reimbursement sought, Coordinated without reimbursement sought, Independent or Organization.* Assign a unique Expenditure #, beginning with the number 0001 and continue sequentially. The purpose of assigning this unique number is to link the committee's expenditure with their itemization in **Section S Addendum** (*see instructions below*).

Type of Expenditure: Check the appropriate box to note whether the expenditure is *None of the below*, *Coordinated with reimbursement sought* (joint expenditure), *Coordinated without reimbursement sought* (in-kind contribution), *Independent*, or *Organization*. For an explanation of these terms, please see the instructions for "Type of Expenditure" in Section P. Unless "None of the below" is selected, complete the **Section S Addendum**.

Record the **Expenditure #** as assigned in Section S. Check the appropriate box, *Supported* or *Opposed*, to indicate whether the candidate(s) or committee(s) was/were supported or opposed by the expenditure. Record the total amount of the expenditure.

Name of Candidate or Committee; Office Sought; Cost Allocated to Candidate or Committee: Report the candidate(s') or committee(s') name(s) and office(s) sought for whom the coordinated, independent or organization expenditure was made. Record the amount of the total expenditure allocated to the candidate or committee.

If a candidate forgives an outstanding expense which was made to his/her own candidate committee, proper reconciliation must be made as follows:

1. On line 28a of the Summary Page Totals, reflect the total amount of the outstanding expenses once the candidate has forgiven their portion; if the candidate is the only outstanding expense to the committee, this balance would be zero.
2. In Section Q, "Campaign Expenses Paid by Candidate," report the candidate's name as payee and the amount which is forgiven and the date the expense(s) were forgiven as the date of payment.

SUBTOTAL Section S – This Page: Add together each expense incurred but not paid by the committee reported on page 16 in Section S and record the total.

TOTAL of additional Section S Pages: Total and record the amount of all additional Section S pages (if applicable).

TOTAL OF ALL EXPENSES INCURRED BY COMMITTEE BUT NOT PAID DURING THIS PERIOD: Add together all of the amounts reported in all Section S pages of this filing. Record the amount on this line and on **Line 28, Column A** of the Summary Page Totals.

Previously reported Expenses Unpaid and Still Outstanding: Record the amount of previously reported unpaid expenses that remain unpaid at the close of this reporting period. Record the amount on this line.

TOTAL OF ALL EXPENSES INCURRED BY COMMITTEE BUT NOT PAID: Add the total of expenses incurred by the committee but not paid during this period (Section S of current filing) to the previously reported unpaid expenses that remain unpaid. Record the total on this line and on **Line 28a, Column A** of the Summary Page Totals.

T. Itemization of Reimbursements and Secondary Payees

In Section T, report each instance in which the treasurer, a committee worker or consultant, or candidate being funded by a town committee or a slate committee pays a secondary payee (vendor, person or entity) for committee-related expenses with their own personal funds. Whether a committee writes a single check to reimburse an individual for combined expenses, or multiple checks to reimburse the individual for each expense, the committee must report **each expense** made by the committee worker or consultant separately.

Report the Committee Check used to actually reimburse the treasurer, committee worker or consultant in Section P, “Expenses Paid by Committee.”

EXAMPLE: John Doe purchased \$100 of lumber at Home Depot to make lawn signs, and \$50 in stamps from the U.S.P.S. The committee reimbursed him for those expenses using committee check number 102.

1. The payment to John Doe is reported in **Section P**, “Expenses Paid by Committee” with John Doe as the payee, together with the purpose of the expenditure coded as “RCW,” the amount of \$150, and committee check number 102 reported.

2. In **Section T**, “Itemization of Reimbursements to Committee Workers and Consultants” the treasurer would report John Doe, as the name of the worker/consultant; Home Depot as the name of the secondary payee, along with Home Depot’s address, the date that John Doe paid Home Depot, the amount of \$100 as paid to Home Depot by John Doe.

3. On the next entry in **Section T**, John Doe’s name would again be reported as the name of worker/consultant, U.S.P.S. as the name of the secondary payee along with U.S.P.S.’s address, the date that John Does paid U.S.P.S., the amount of \$50 as paid to U.S.P.S. by John Doe.

Last Name of Worker/Consultant, First Name, and Middle Initial: Record the name of the worker or consultant being reimbursed.

Date of Payment to Vendor, Person or Entity: Record the date that the committee worker or consultant paid the vendor, person or entity.

Name of Vendor, Person or Entity Paid by Committee Worker/Consultant, Street Address, City, State, and Zip Code: Record the name and address of the vendor, person or entity that was paid by the committee worker or consultant.

Payment to Reimburse Committee Worker/Consultant as reported in Section P: Check the box to indicate the method of payment **by the committee to reimburse** the worker/consultant, either **Check** (with accompanying check number), **Debit Card** or **Electronic Funds Transfer (EFT)**. EFT’s are direct debit payments, sometimes called electronic checks, for which a business debits the bank account for payment for goods or services.

Purpose of Expenditure: Note the purpose of the expenditure made by the committee worker or consultant by using the Expenditure Code Addendum attached (*pages 27-29*).

Description: Provide a brief description of the item purchased from the vendor, person or entity by the committee worker or consultant. Certain expenditure codes **require** a description as set forth in the Expenditure Code Addendum attached (*pages 27-29*).

Event #: If the expenditure is associated with an event, record the “Event #” as reported in Section L1.

T. Itemization of Reimbursements to Committee Workers and Consultants *continued*

Amount: Record the amount of the expenditure reported for this transaction.

Expenditure #: *To be completed only when the expenditure is Coordinated with reimbursement sought, Coordinated without reimbursement sought, Independent or Organization.* Assign a unique Expenditure #, beginning with the number 0001 and continue sequentially. The purpose of assigning this unique number is to link the committee's expenditure with their itemization in **Section T Addendum** (see instructions below).

Type of Expenditure: Check the appropriate box to note whether the expenditure is *None of the below*, *Coordinated with reimbursement sought* (joint expenditure), *Coordinated without reimbursement sought* (in-kind contribution), *Independent*, or *Organization*. For an explanation of these terms, please see the instructions for "Type of Expenditure" in Section P. Unless "None of the below" is selected, complete the **Section T Addendum**.

Record the **Expenditure #** as assigned in Section T. Check the appropriate box, *Supported* or *Opposed*, to indicate whether the candidate(s) or committee(s) was/were supported or opposed by the expenditure. Record the total amount of the expenditure.

Name of Candidate or Committee; Office Sought; Cost Allocated to Candidate or Committee: Report the candidate(s') or committee(s') name(s) and office(s) sought for whom the coordinated, independent or organization expenditure was made. Record the amount of the total expenditure allocated to the candidate or committee.

SUBTOTAL Section T – This Page: Add together each reimbursement paid by the committee reported on page 17 in Section T and record the total.

TOTAL of additional Section T Pages: Total and record the amount of all additional Section T pages (if applicable).

TOTAL OF ALL REIMBURSEMENTS TO COMMITTEE WORKERS AND CONSULTANTS: Add together all of the amounts reported in all Section T pages of this filing. Record the amount on this line.

EXPENDITURE CODE ADDENDUM

For use with Sections P, Q, R, S & T of the SEEC Form 20

Asterisk * adjacent to the left of the Expenditure Code indicates that **Description Field is **Mandatory****

Warning: The existence of a particular expenditure code does not mean that such expenditure is lawful. To determine lawfulness, treasurers must read the committee guide applicable to their type of committee or contact the State Elections Enforcement Commission at 860-256-2925.

Advertising: Each expenditure code beginning with “A-” is to be used to identify the delivery method for paid advertising, which includes advertising to solicit committee funds. Include the costs for **both the development and the delivery** of the message. A payment to a professional consultant to develop a message should be coded to the main advertising delivery method below, **not** as Professional Consultant (**CNSLT**), which is a code that should only be used when no other expenditure code applies. If a single advertising message is developed for several of the delivery mechanisms listed below, use **A-OTH** for the cost of developing the message and then use the applicable code for the payments associated with the several delivery methods used. **Please Note:** The one **exception** to this advertising rule is when advertising content includes, as part of the message, an invitation to individuals to attend a fundraising event in return for a contribution or attendance fee. **Fundraising Event** advertising must be coded **FNDR** (see explanation below) irrespective of the advertising delivery method.

A-DM: expenditure to **advertise** through **direct mail**.

A-MAG: expenditure to **advertise** through a **magazine**.

A-NEWS: expenditure to **advertise** through a **newspaper**.

A-ATM: expenditure to advertise using an **automated telephone/fax message**, or an **automated telemarketing message**.

A-PH-BNK: expenditure for the use of **phone banks**, where people are speaking as distinguished from pre-recorded messages (*above*) and polls and surveys (*below*).

A-RAD: expenditure to **advertise** on **radio**.

A-SIGN: expenditure for the cost of preparing, printing, producing or distributing lawn or billboard **signs** visible from any street or highway.

A-TV: expenditure to **advertise** on **television**.

A-WEB: expenditure to advertise on the **World Wide Web**. This includes webcasting (sending audio and/or video live over the internet), or any other form of advertising on the web. *See WEB for other web-related expenditures.*

A-OTH: expenditure for any **other advertising**, not listed above, like the cost of (a) posters, stickers, streamers, banners, etc. for distribution on or in buildings or vehicles (i.e. cars, buses, boats, aircraft, etc.); (b) campaign paraphernalia, such as pins, hats, potholders, tee shirts and other campaign giveaway items; (c) audio messages and the cost of transmitting them by speakers from vehicles or buildings; (d) ads placed in ad books, in schools or civic organizations’ ad book pamphlets or bulletins; or (e) ads placed in ad books for fundraising events held by other committees under the ad book exception to contribution.

***ATT:** expenditure for **attendance fee or entrance fee** for any person, such as a charitable event or an educational course or training seminar. In the text box of the **Description Field**, which is **mandatory** under this expenditure category, identify the name and address of the individual who is attending the event as well as the date and location of the event and the name of the entity sponsoring the event.

BNK: expenditure to record any payment of **bank fees, interest charges, or penalties** assessed by the bank on the committee’s checking account only. Similar fees assessed by a credit card company should be listed under credit card charges in Section R of the SEEC Form 20, entitled “Expenses Incurred on Committee Credit Card.”

CCP: expenditure to record **any payment of the credit card bill**, including partial payments, finance charges, and mid-cycle payments. See Section R of the SEEC Form 20, entitled “Expenses Incurred on Committee Credit Card,” to record actual charges made against the credit card account, including any finance charges.

CEF: expenditure to record any payment to the State of Connecticut’s **Citizens’ Election Fund (CEF)**. **Checks should be made payable to the Citizens’ Election Fund and sent to the State Elections Enforcement Commission, 20 Trinity Street, Hartford, CT 06106.** When a durational committee is distributing its surplus to a charity, the surplus distribution (**SRPLS**) expenditure code should be used.

CHAR: expenditure for a payment of committee funds to a tax-exempt **charitable** organization [26 U.S. Code § 501(c)(3)]. When a durational committee is distributing its surplus to the Citizens’ Election Fund (**CEF**), the surplus distribution (**SRPLS**) expenditure code should be used.

EXPENDITURE CODE ADDENDUM

For use with Sections P, Q, R, S & T of the SEEC Form 20

Asterisk * adjacent to the left of the Expenditure Code indicates that **Description Field is **Mandatory****

CNSLT: expenditure to a professional **consultant**. Professional consultants are individuals or entities that are paid by the committee as independent contractors for their professional advice. They are not salaried employees and they are not individuals who are serving the committee as volunteers. *Examples:* management firms, public relations firms, lawyers and accountants, etc. However, for payments to professional consultants who design polls and surveys, or advertising messages, use the more specific code (ex. **A-DM, A-OTHR, POLLS**). If the payment to a professional consultant includes costs paid or incurred to some other vendor, following completion of the entry of this expenditure, go immediately to Section T, "Itemization of Reimbursements to Committee Workers and Consultants," and follow the instructions for reporting of **Secondary Payees**.

CNTRB: expenditure that is a **contribution to another committee**. The expenditure of a committee's funds to make a contribution to another committee is to be distinguished from an expenditure of committee funds to **pay the other committee (POC)** for shared expenses. *See explanation of POC below.*

***EFV:** expenditure for **equipment, furniture, and vehicles**. Record only the portion of the cost that is actually paid. Cost includes any costs associated with the delivery or installation of the item. Equipment includes computers, printers, phones, etc. The text box of the **Description Field**, which is **mandatory** in this situation, must report the item, and whether the expenditure is a purchase, rental or lease. *Please Note:* Vehicles may only be leased and may not be purchased.

FOOD: expenditure paid directly to a vendor for food and beverage, **except** if the vendor is paid for these items in association with the committee's own sponsored **fundraiser** (*see FNDR below*) or the committee's own sponsored **inaugural event** (*see INAUG below*).

***FNDR:** expenditure associated with holding a committee **fundraising event** (i.e. payments to restaurants, hotels, caterers, food and beverage vendors, invitations, entertainers performing at the event, paid speakers, etc.). Advertising content that includes as part of the message invitations to individuals to attend a committee fundraising event in return for a contribution or attendance fee must, however, be coded **FNDR** irrespective of the advertising delivery method. *Please Note:* This expenditure category **must not include** expenditures of the committee's funds for the **attendance fees (ATT) of any persons** attending any other committee's fundraising event.

***GIFT:** record the purchase of any item that is to be given as a **gift** to any individual or entity. Gifts to committee workers are generally limited to an aggregate of \$100 per recipient. The text box of the **Description Field**, which is **mandatory** in this situation, must identify the item purchased as well as the name and address of the individual or entity who is the recipient of the committee's gift.

INAUG: expenditure relating to the committee's costs for hosting an **inaugural event** for the committee's own candidate. This code does not include expenditures by the committee for attendance fees of individuals to another committee's inaugural event, which must be coded as an **attendance fee** (*see ATT above*).

LOAN: expenditure to record the payment of the committee's **LOAN**, whether principal, interest or both. *Please Note:* Any penalties assessed for non-payment on a loan, if not paid by the payment due date, must be disclosed as additional "Expenses Incurred by Committee but not Paid During This Period" in Section S of the SEEC Form 20.

OFFICE: expenditure for **office supplies** such as paper, pens, printer cartridges, etc.

OVHD: expenditure of **overhead operating** costs, including the cost of renting office space, parking spaces, repairing or servicing office furniture and equipment used in connection with committee activities, related insurance, utility payments for committee headquarters, subscriptions and similar overhead operating expenses.

Party Building Activity: Each expenditure code beginning with "**PBA-**" is to be used to identify party building activity, which includes but is not limited to, any political meeting, conference, convention and other event, attendance or involvement at which promotes or advances the interests of the party at a local, state or national level, and any associated expenses.

The text box of the **Description Field**, which is **mandatory** for all "**PBA-**" codes, must identify the name, date and location of the political meeting or event, the name of the entity sponsoring the event, as well as the number of individuals that this reported expense covered.

***PBA-ATT:** expenditure for an **attendance or admission fee** for a political meeting, conference, convention, or other event, attendance or involvement at which promotes or advances the interests of the party at a local, state or national level.

***PBA-TRVL:** expenditure for the costs of **travel and lodging** associated with attendance at a political meeting, conference, convention or other event, attendance or involvement at which promotes or advances the interests of the party.

***PBA-OTH:** **other party building expenditures** such as meals associated with attendance at a political meeting, conference, convention or other event, attendance or involvement at which promotes or advances the interests of the party.

EXPENDITURE CODE ADDENDUM

For use with Sections P, Q, R, S & T of the SEEC Form 20

Asterisk * adjacent to the left of the Expenditure Code indicates that Description Field is Mandatory

PETTY: expenditure to replenish the committee's **petty cash fund**.

POC: expenditures to record a **payment to another committee** for a reimbursement of a shared expense. *Please Note:* The committee must reimburse the other committee within a reasonable amount of time to avoid it becoming an in-kind contribution. The Commission has said that a reimbursement received **within 45 days** of the date of the expenditure will not be considered an in-kind contribution. The **POC** expenditure code category must be distinguished from expenditures that are coded as **contributions to another committee (CNTR)**.

POLLS: expenditures associated with **conducting polls and surveys**. This category is to be distinguished from phone banks (**A-PH-BNK**) because the information is not just delivered to the public but opinion is carefully being sought and collected from the public in some manner to produce a poll or survey result or report. If a professional consultant is both designing *and* conducting the poll or survey, use **POLLS** as the expenditure code, not **CNSLT** (*see above*).

POST: expenditures for **postage**, such as stamps, bulk mail permits, post office boxes and envelopes, United Parcel Service, Federal Express, etc.

PRNT: expenditures associated with the costs of **printing**, photocopying or reproducing literature, stationery, invitations and the like.

RMB: expenditures to **reimburse consultants or committee workers**, which may include a candidate or treasurer. This is when the cost of payment for something needed by the committee is advanced by the committee worker or consultant and reimbursement is sought. *Please Note:* The committee must reimburse the committee worker or consultant within a reasonable amount of time to avoid it becoming an in-kind contribution. The Commission has said that a reimbursement received **within 45 days** of the date of the expenditure will not be considered an in-kind contribution. After making payment to the worker or consultant, reporting this item also requires full reporting of the **Secondary Payees** appearing on the payment slip of the committee worker or consultant. Go immediately to Section T "Itemization of Reimbursements and Secondary Payees," and follow the instructions for reporting of Secondary Payees. *Further Note:* When reimbursing the candidate, report the purchase in Section Q of the SEEC Form 20, entitled "Campaign Expenses Paid by the Candidate."

REF: **refunds** are expenditures of any committee funds that were deposited into the committee's checking account and then returned to a contributor or any other revenue source for any reason.

SRPLS: expenditures which are **surplus distributions** in connection with the termination and dissolution of a durational committee.

TRAIN: expenditures for **campaign training events**, and associated materials, provided to multiple individuals by a legislative caucus committee.

TRVL: expenditures for an individual's **transportation** costs and **lodging** authorized by the treasurer, such as the cost of gasoline, other transportation fare, and lodging. The cost of **attending** any event should be coded as **attendance** (*see ATT above*) and **any separate payment for food** outside the cost of the attendance fee should be coded as **FOOD**.

WAGE: expenditures for **wages and benefits** paid to the committee's staff. This is to be distinguished from payments to professional consultants (**CNSLT**) who are independent contractors.

WEB: expenditures for accessing and having a presence on the **WEB**. This includes payments to develop or maintain: (a) a committee website; (b) an internet provider; (c) a domain name on the internet; (d) payments to a merchant account processor or a payment gateway provider to enable the committee to receive credit and debit card contributions over the internet; and (e) similar costs relating to use of the internet. This is not to be used for any costs related to advertising on the web (*see A-WEB above*).

***MISC:** expenditures of **Miscellaneous** items that are not listed above. The text box of the **Description Field**, which is mandatory in this situation, must explain in narrative form, with sufficient clarity, the purpose of this expenditure.

If additional pages are needed to complete all information required in each section of the form, please reproduce the "Additional Page" for the appropriate section, and attach the page(s) to the section.

Additional Pages are located at the back of the SEEC Form 20.